


Substitute for Form 1449/PTO <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b> (use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	09/900,373	
			Filing Date	July 6, 2001	
			First Named Inventor:	Hua Li	
			Art Unit	2828	
			Examiner Name	Hung T. Vy	
Sheet	1	of	2	Attorney Docket Number	42.P14872

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If known)				
H H H		US-	5,867,512	02/02/1999	Sacher	
		US-	5,838,713	11/17/1998	Shimoji	
		US-	5,596,456	01/21/1997	Luecke	
		US-				
		US-				
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FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>o</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
✓		PCT/US99/	24137	10/15/1999	PCT International Search Report		
		PCT/US02/	21413	07/05/2002	PCT International Search Report		
✓		WO 00/	49689	02/18/2000	New Focus, Inc.		
✓		EP0951112	A2	03/31/1999	European Patent Application		
✓		EP0687045	A2	06/06/1995	European Patent Application		

Examiner Signature		Date Considered	03/04/04
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
		N.A. OLSON et al., "Performance Characteristics of 1.5 $\mu$ m External Cavity Semiconductor Lasers for Coherent Optical Communication" Journal of Lightwave Technology LT-5 (1987) 510-515, April, No. 4, New York, New York, USA			
		ZHANG et al., "An Interference Filter Based External Cavity Laser For Dense Wavelength Division Multiplexing Applications", Technical Proceedings, Vol. 1, National Fiber Optics Engineers Conference, September 13-17, 1998.			
		ZORABEDIAN et al., "Interference-filter-tuned, alignment-stabilized, semiconductor external-cavity laser", Reprinted from Optics Letters, Vol. 13, page 826, October, 1988.			

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